



Customer No. 22,852  
Attorney Docket No. 08098.0012

*Seetor \$ #3*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Dennis MENDIOLA et al.

Serial No.: 09/878,338

Filed: June 12, 2001

For: A TRADING AND AUCTION SYSTEM, AND  
METHODS FOR THE AUTHENTICATION OF  
BUYERS AND SELLERS AND THE  
TRANSMISSION OF TRADING  
INSTRUCTIONS IN A TRADING AND  
AUCTION SYSTEM

Group Art Unit: 2161

Examiner:

Assistant Commissioner for Patents  
Washington, DC 20231

Attention: **BOX MISSING PART**

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

In response to the Notice To File Missing Parts dated August 7, 2001,  
enclosed is the Declaration and a copy of the Notice To File Missing Parts.

Also enclosed is a check in the amount of \$130.00 to cover the surcharge of  
\$130.00. Authorization is hereby given to charge any additional fees to our deposit  
account no. 06-0916.

Please associate this Declaration with the application as filed on June 12,  
2001, and assigned serial number 09/878,338.

Respectfully submitted,  
FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

By: *David W. Hill*  
David W. Hill  
Reg. No. 28,220

Dated: October 9, 2001

Enclosures  
DWH/FPD/peg

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/878,338	06/12/2001	Dennis Mendiola	08098.0012

RECEIVED

CONFIRMATION NO. 2153

AUG 08 2001

## FORMALITIES LETTER



\*OC000000006394937\*

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1300 I Street, N.W.  
Washington, DC 20005-3315

FINNEGAN, HENDERSON,  
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Date Mailed: 08/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

AUG 09 2001

MAIL

10/10/2001 WABRHAM1 00000086 09878338

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130.00 OP

Docketed 8-8-01 Attorney DWH/lus  
Case 8098.0012  
Due Date 10-7-01 NEXT  
Action DECL POA  
By B